

7—Major Maintenance Procedures

Overview of Major Maintenance Procedures

Major Maintenance appropriations to the Department of Administrative Services, General Services Enterprise, are essential for dealing with a wide range of building repair needs throughout the state, including the deferred maintenance backlog. Dedicated funding for major maintenance has been appropriated since 1996. Project prioritization, however, has been determined by individual agencies until FY2001.

List of Topics for This Document

This section includes the following topics:

7—Major Maintenance Procedures	2
Major Maintenance Fund Distribution Guidelines	3
Guideline 1—Prioritization.....	3
Overview	3
Annual Review of Procedures	3
Project Request Form and Procedures	3
Project Requests from Institutions and Sites to Agencies	3
Agency Prioritization	4
Project Classifications	5
Project Costs and Schedules.....	5
DAS Project Consolidation	5
DAS Project Request Review	6
Agency Presentations	6
Advisory Committee Drafts Priority List.....	6
Agency Review of Project List	7
Project Priority List	7
DAS Designation of Funds	7
Project Managers and Project Agreements	7

Guideline 2—Contingencies	7
Overview	7
Eligible Work	8
Funding for Contingencies	8
Guideline 3—Emergencies	8
Overview	8
Other Funding Sources	9
Funding for Emergencies	9

Major Maintenance Fund Distribution Guidelines

The Vertical Infrastructure Advisory Committee has recommended the following guidelines for distribution of Major Maintenance Funds:

1. **Prioritization:** Funding will be based solely on prioritization of Major Maintenance projects submitted by each Agency / Institution and annually assembled into one consolidated project list by the Department of Administrative Services, General Services Enterprise,.
2. **Contingencies:** There will be no contingency funds reserved from the Major Maintenance fund, however, change orders deemed appropriate for funding will be addressed through delay of lower priority projects and/or with cash flow management of the total Major Maintenance funds available.
3. **Emergencies:** Emergencies for which no other funding is available will be funded at the time they occur when mutually agreed upon by the agency and the Department of Administrative Services, General Services Enterprise. Funding will be accomplished through delay of unencumbered project funds and/or with cash flow management of the total funds.

These guidelines are discussed in more detail on the following pages.

Guideline 1—Prioritization

Overview

An annual project list will be developed by the Agencies and the Department of Administrative Services, General Services Enterprise, with the advice of the Vertical Infrastructure Advisory Committee. The procedure

Guideline 1 – Prioritization

**Annual Review of
Procedures**

Annually, the Vertical Infrastructure Advisory Committee will review Major Maintenance Definitions and Procedures to clarify issues related to identifying projects on an enterprise-wide basis and developing a schedule for submitting and prioritizing projects for the upcoming fiscal year(s).

Guideline 1 – Prioritization

**Project Request Form
and Procedures**

The Vertical Infrastructure Program staff will annually update the Project Request Form to reflect information needed to identify major maintenance projects and accurately estimate costs associated with the project.

The project request form is an electronic submission form that will be distributed to agencies with definitions of form items and instructions for completing and submitting the form. Agencies will be asked to submit the project request form electronically so that it can be incorporated into the Vertical Infrastructure project-monitoring database.

In addition to the project request form, agencies will receive a schedule of events outlining target dates for submitting project requests and staff reviewing the project requests before the Vertical Infrastructure Advisory Committee prioritizes them.

Guideline 1—Prioritization

**Project Requests from
Institutions and Sites to
Agencies**

Each agency shall work with its institutions and sites to develop a list of projects eligible for Major Maintenance Funding. To assist the agencies, institutions and sites, the Vertical Infrastructure Program Manager will develop a Vertical Infrastructure Assessment Database report to provide one source of information for the development of project requests. The Vertical Infrastructure Assessment Database report will provide

information including:

- Overall ratings of buildings on site
- Lists of deficiencies that should be targeted for repair or replacement
- Preliminary estimate of deficiency repair costs

Institutions and sites shall also consider:

- Priorities of the Vertical Infrastructure Advisory Committee, as described in **Major Maintenance Definitions**,
 - Americans with Disabilities Act Transition Plan requirements,
 - Citations from the State Fire Marshal and other code enforcement agencies,
 - Other needs identified by agency and site representatives as appropriate for Major Maintenance funding.
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Guideline 1—Prioritization

Projects must meet the following criteria:

Agency Prioritization

- Major Maintenance definition developed by the Iowa Vertical Infrastructure Advisory Committee
- Language of the appropriation
- The share of individual project costs shall not exceed 20% of the total appropriation.

Additionally, agencies shall develop their own specific criteria for ranking their top projects. Each agency shall include a brief statement of these criteria along with its project list.

Guideline 1—Prioritization

Project Classifications

Each agency shall classify its projects according to one or more of the following categories (shown in alphabetical order):

- ADA requirements (cite reference to ADA Transition Plan or complaint filing)
- Fire Marshal's report or citation (cite date of inspection)
- Program Manager/Project Manager/Plant Manager determination of need (provide brief statement of need for the project)
- Vertical Infrastructure Database (cite rating of D, F or X in database)

Projects shall also be classified according to the priorities of the Vertical Infrastructure Advisory Committee, as defined in **Major Maintenance Definitions** and summarized below:

- 1) Threat to life, health,
- 2) Projects already underway,
- 3) Projects to reduce exponential damage,
- 4) Renovation projects,
- 5) Building replacement, and
- 6) New construction.

Guideline 1—Prioritization

**Project Costs and
Schedules**

For each prioritized project request, the agencies will provide the following information about the project:

- Estimated design costs and environmental testing costs
- Estimated costs for abatement of hazardous materials
- Estimated construction costs
- Estimates for any other identified costs
- Estimated schedule for design and construction, including any specific scheduling requirements
- Estimated cash flow schedule
- Estimated additional costs if the project is delayed

Guideline 1—Prioritization

DAS Project

All agency lists will be consolidated and prioritized into a ranked order by the Department of Administrative Services, General Services Enterprise. In general, agency project rankings

Consolidation

will not be changed. The following issues will be considered:

- Priorities of the Vertical Infrastructure Advisory Committee
- Criteria used by each agency
- Total funds available for major maintenance projects
- Possibility of other funding sources for specific projects, including eligibility for separate “capital project” funding
- Ability to separate “design” and “construction” phases into distinct projects
- Enterprise-wide needs of the state.

Guideline 1—Prioritization

**DAS Project Request
Review**

The Department of Administrative Services, General Services Enterprise, staff will review project requests and contact business managers and agency representatives if there are questions about project scope, cost or priority while the committee is reviewing the projects. Any changes or recommendations will be discussed with the committee when they meet to prioritize the projects..

Guideline 1—Prioritization

Agency Presentations

Agency representatives will present project requests to the Advisory Committee including an explanation of the need for completing the project, provide supporting handouts and answer questions posed by the committee members and staff.

Guideline 1—Prioritization

**Advisory Committee
Drafts Priority List**

The Advisory Committee will meet to review project requests and based on priorities described in **Major Maintenance Definitions**, draft a Major Maintenance Priority List that is issued to the agencies for review and comment.

Guideline 1—Prioritization

**Agency Review of
Project List**

Agencies will have an opportunity to request adjustments to the list, mutually agreed upon adjustments will be made, and the Advisory Committee will be asked to concur with the list or recommend specific adjustments. The Final Major Maintenance Priority List will be issued to agencies.

Guideline 1—Prioritization

Project Priority List

Directors will meet to review the Priority List and offer comments on issues not considered by the Advisory Committee such as extenuating or programmatic issues. The Final Major Maintenance Priority List will be forwarded to the Governor with the Directors' comments.

Guideline 1—Prioritization

**DAS Designation of
Funds**

The Department of Administrative Services, General Services Enterprise, will prepare a preliminary distribution schedule for the full amount of the funds available, using the estimates developed by the agencies, and beginning with the top ranked project. This proposed Project Funding Distribution list will be submitted to the agencies and the Iowa Vertical Infrastructure Advisory Committee for review and comment.

**Project Managers and
Project Agreements**

Design and Construction Division project managers will be assigned, as necessary, to the projects and project agreements will be developed between the Department of Administrative Services, General Services Enterprise, Design and Construction Division, and the respective agencies.

Guideline 2—Contingencies

Overview

There will be no contingency funds set aside from the Major Maintenance fund. Change orders deemed appropriate for funding will be addressed through delay of lower priority projects and/or with cash flow management of the total Major Maintenance funds available.

Guideline 2—Contingencies

Eligible Work

Funding requests eligible for consideration under this guideline include mutually agreed upon change orders to projects under way, including projects funded from prior year appropriations

Guideline 2—Contingencies

**Funding for
Contingencies**

Change orders will be funded as follows:

- Projects for which funds have not yet been encumbered will be delayed, and/or
- Cash flow management of the full amount of major maintenance funds available, and/or
- Allocations to specific projects will be in consultation with the Vertical Infrastructure Advisory Committee, the Department of Administrative Services, General Services Enterprise, and the affected agencies.

Delayed projects may move to the top of the list of projects funded in the next fiscal year, subject to mutually agreed upon adjustments in priorities.

Guideline 3—Emergencies

Overview

Emergencies for which no other funding is available will be funded at the time they occur when mutually agreed upon by the agency and the Department of Administrative Services, General Services Enterprise. Agencies shall submit a Special Project Request Form for consideration by the Department of Administrative Services and the Vertical Infrastructure Advisory Committee.

Guideline 3—Emergencies

Other Funding Sources

Other funding sources include those defined in the *Code of Iowa*, relating to emergency management issues as described in the following *Code* sections:

- Section 29C.20 Contingent fund—disaster aid [for use of executive council]
- Section 7D.29 Performance of duty—expense [applicable to the executive council]
- Section 8A.321.4 [applicable to Administrative Services and repair projects for which no specific appropriation has been made]

Guideline 3—Emergencies

Funding for Emergencies

Emergency projects will be funded as follows:

- Projects for which funds have not yet been encumbered will be delayed, and/or
- Cash flow management of the full amount of major maintenance funds available

Emergency repair projects may also require reassignment of staff resulting in delays to other projects.